



18351 U.S. PTO

013004

APPROVED
for
PTO DEPOSIT ACCOUNT CHARGE
ACCOUNT# 04-1700

Express Mail Number: EL984584060US

Date Deposited: 01/30/2004

DUNLAP CODDING & ROGERS, P.C.

PTO/SB/05 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCEUTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

| | |
|------------------------|--|
| Attorney Docket No. | 5920.002 |
| First Inventor | Lijun Xia et al. |
| Title | HEMATOPOIETIC STEM CELLS TREATED BY IN VITRO FUCOSYLATION AND METHODS OF USE |
| Express Mail Label No. | EL984584060US |

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Mail Stop Patent Appl., Comm. for Patents
PO Box 1450
Alexandria, VA 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 53]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description - Redline Specification ____ pgs
 - Claim(s) - Clean Specification ____ pgs
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 11]
5. Oath or Declaration [Total Pages 2]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☒ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: SEE BELOW

18. This application is:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information:

Examiner

of prior application No.:

Group Art Unit:

☐ As a CON, DIV, or CIP, this application contains one or more changes to (1) the specification; (2) drawings; or (3) claims in the above-identified prior application. A red-line version of the application showing these changes will be made available to the examiner upon request.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 30589
(Insert Customer No. or Attach bar code label here) or ☐ Correspondence address below

| | | | | | |
|---------|---------------------------------|-----------|----------------|----------|----------------|
| Name | Dunlap, Coddling & Rogers, P.C. | | | | |
| | P. O. Box 16370 | | | | |
| Address | Attn: Christopher W. Corbett | | | | |
| City | Oklahoma City | State | OK | Zip Code | 73113 |
| Country | USA | Telephone | (405) 607-8600 | Fax | (405) 607-8686 |

| | | | |
|-------------------|------------------------|-----------------------------------|---------|
| Name (Print/Type) | Christopher W. Corbett | Registration No. (Attorney/Agent) | 36.109 |
| Signature | | Date | 1/30/04 |

SEND TO: Mail Stop Patent App
P.O. Box 1450
Alexandria, VA 22313-1450

17) 1. Utility Patent Application Transmittal (1 page); 2. Fee Transmittal (1 page) Authorizing the Commissioner to charge indicated fees of \$1,074.00 (which include Utility filing fee of \$385.00, Extra Claim fee of \$649.00, and Recordation of Assignment fee of \$40.00) or any additional fee required and/or credit any overpayments to Deposit Account Name Dunlap, Coddling & Rogers, P.C.; 3. Patent Application Fee Determination Record (1 page); 4. Executed Power of Attorney or Authorization of Agent and Certificate Under 37 CFR 3.73(b) (2 pages); 5. Assignment including Recordation Cover Sheet (3 pages); 6. Complete Application for Publication (53 pages) including: (A) Specification (39 pages); (B) 73 Claims (13 pages); (C) Abstract (1 page); 7. Executed Declaration for Utility or Design Patent Application (2 pages); 8. Petition to Accept Color Drawings (2 pages); 9. Formal Drawings with labels (11 sheets) (identifying indicia in the top margin of each sheet); 10. Information Disclosure Statement (3 pages); 11. Form 1449 (modified) (3 pages); 12. Copies of Cited Art; and 13. Return receipt postcard

APPROVED

for

PTO DEPOSIT ACCOUNT CHARGE
ACCOUNT NO. 04-1700Express Mail No.: EL984584060US
Date Deposited: 01/30/2004

PTO/SB/17 (10-03)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

**FEE TRANSMITTAL
for FY 2004**

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 1,074

Compleat if Known

| | |
|----------------------|------------------|
| Application Number | Not Yet Assigned |
| Filing Date | Herewith |
| First Named Inventor | Lijun Xia et al. |
| Examiner Name | Unknown |
| Art Unit | Unknown |
| Attorney Docket No. | 5920.002 |

METHOD OF PAYMENT (check all that apply)☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit
Account
Number

04-1700

Deposit
Account
NameDunlap, Coddling & Rogers, P.C.
Customer No. 30589

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 1001 | 770 | 2001 | 385 | Utility filing fee | 385 |
| 1002 | 340 | 2002 | 170 | Design filing fee | |
| 1003 | 530 | 2003 | 265 | Plant filing fee | |
| 1004 | 770 | 2004 | 385 | Reissue filing fee | |
| 1005 | 160 | 2005 | 80 | Provisional filing fee | |

SUBTOTAL (1) (\$) 385

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims | | Extra Claims | | Fee from below | | Fee Paid | |
|--------------------|----|--------------|----|----------------|----|----------|-------|
| | 73 | ** = | 53 | X | 9 | = | \$477 |
| Independent Claims | 7 | ** = | 4 | X | 43 | = | \$172 |
| Multiple Dependent | | | | | | = | \$0 |

| Large Entity | | Small Entity | | Fee Description |
|--------------|----------|--------------|----------|--|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | |
| 1202 | 18 | 2202 | 9 | Claims in excess of 20 |
| 1201 | 86 | 2201 | 43 | Independent claims in excess of 3 |
| 1203 | 290 | 2203 | 145 | Multiple dependent claim, if not paid |
| 1204 | 86 | 2204 | 43 | ** Reissue independent claims over original patent |
| 1205 | 18 | 2205 | 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 649

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|----------|----------|----------|----------|--|----------|
| 1051 | 130 | 2051 | 65 | Surcharge - late filing fee or oath | |
| 1052 | 50 | 2052 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 1053 | 130 | 1053 | 130 | Non-English specification | |
| 1812 | 2,520 | 1812 | 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 1804 | 920* | 1804 | 920* | Requesting publication of SIR prior to Examiner action | |
| 1805 | 1,840* | 1805 | 1,840* | Requesting publication of SIR after Examiner action | |
| 1251 | 110 | 2251 | 55 | Extension for reply within first month | |
| 1252 | 420 | 2252 | 210 | Extension for reply within second month | |
| 1253 | 950 | 2253 | 475 | Extension for reply within third month | |
| 1254 | 1,480 | 2254 | 740 | Extension for reply within fourth month | |
| 1255 | 2,010 | 2255 | 1,005 | Extension for reply within fifth month | |
| 1401 | 330 | 2401 | 165 | Notice of Appeal | |
| 1402 | 330 | 2402 | 165 | Filing a brief in support of an appeal | |
| 1403 | 290 | 2403 | 145 | Request for oral hearing | |
| 1451 | 1,510 | 1451 | 1,510 | Petition to institute a public use proceeding | |
| 1452 | 110 | 2452 | 55 | Petition to revive - unavoidable | |
| 1453 | 1,330 | 2453 | 665 | Petition to revive - unintentional | |
| 1501 | 1,330 | 2501 | 665 | Utility issue fee (or reissue) | |
| 1502 | 480 | 2502 | 240 | Design issue fee | |
| 1503 | 640 | 2503 | 320 | Plant issue fee | |
| 1460 | 130 | 1460 | 130 | Petitions to the Commissioner | |
| 1807 | 50 | 1807 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 1806 | 180 | 1806 | 180 | Submission of Information Disclosure Stmt | |
| 8021 | 40 | 8021 | 40 | Recording each patent assignment per property (times number of properties) | 40 |
| 1809 | 770 | 2809 | 385 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 1810 | 770 | 2810 | 385 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| 1801 | 770 | 2801 | 385 | Request for Continued Examination (RCE) | |
| 1802 | 900 | 1802 | 900 | Request for expedited examination of a design application | |

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 40

SUBMITTED BY

(Complete if applicable)

Name (Print/Type)

Christopher W. Corbett

Registration No.
(Attorney/Agent)

36,109

Telephone (405) 607-8600

Signature

Date

01/30/2004

Mail Stop Patent Application
Commissioner for Patents
PO Box 1450, Alexandria, VA 22313-1450

EXPRESS MAIL NO.: EL984584060US
Deposited On: January 30, 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : Not Yet Assigned Confirmation No.: N/A
Applicant(s) : Lijun Xia and Rodger P. McEver
Filed : Herewith
TC/A.U. : Unknown
Examiner : Unknown
Title : HEMATOPOIETIC STEM CELLS TREATED BY IN
VITRO FUCOSYLATION AND METHODS OF USE

Docket No. : 5920.002
Customer No. : 30589

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Arlington, VA 22313-1450

PETITION TO ACCEPT COLOR DRAWINGS OR PHOTOGRAPHS
(37 CFR § 1.84(a)(2) AND (b)(2))

1. This Petition is for the acceptance of color:

 X drawings. (37 CFR § 1.84(a)(2))

 ___ photographs (37 CFR § 1.84(b)(20))

2. Attached hereto are three (3) sets of color:

 X drawings.

 ___ photographs.

02/06/2004 HMEKONEN 00000004 041700 10769686
01 FC:1460 130.00 DA

3. The reason(s) for the need for color drawings or photographs in this application is/are as follows:

Data points in Figure 3 are differentiated via color.

4. The petition fee required to waive the requirement of § 1.84 (37 CFR § 1.17(i) - \$130.00) is paid as follows:

___ Attached is a

___ check

___ money order

in the amount of \$_____.

X Authorization is hereby made to charge the amount of \$130.00

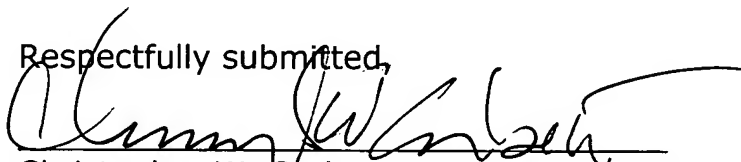
X to Deposit Account No. 04-1700

___ to credit card as shown on the attached credit card
information authorization form PTO-2038.

X Charge any additional fees required by this paper or credit any
overpayment in the manner authorized above.

A duplicate of this paper is attached.

Respectfully submitted,



Christopher W. Corbett, Reg. No. 36.109

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